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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
Group Art Unit: 2161

In Re PATENT APPLICATION OF

Applicants : Eiichi HATAKEYAMA

Appln. No. : 10/046,709

Filed : January 17, 2002

Conf. No. : 6076

**For : METHOD FOR INVESTMENT
MANAGEMENT**

Atty. Dkt. : 32307-177799

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

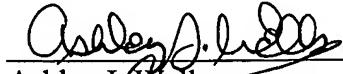
This is an Information Disclosure Statement submitted under 37 C.F.R. 1.97 ff within the time specified in 37 C.F.R. 1.97(b).

Attached is a copy of a Japanese Official Action dated October 4, 2002 received in a corresponding Japanese Patent Application together with copies of the four cited documents. An English translation of the Action is also being submitted herewith. The relevance of the publications is discussed in the Action. All of the publications are listed on an enclosed Form PTO-1449.

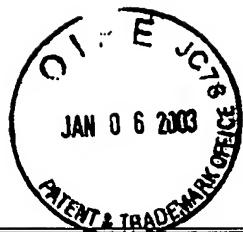
As all requirements of 37 C.F.R. 1.97 ff, and all official guidelines pertaining to Information Disclosure Statements, have been complied with, it is respectfully requested that the Examiner consider the publications and make them of record.

Respectfully submitted,

January 6, 2003
Date



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Page 1 of 1

FORM PTO-1449 INFORMATION DISCLOSURE CITATION		Atty Docket: 32307-177799		Application No.: 10/046,709			
		Applicant: Eiichi HAYAKEYAMA					
		Filing Date: January 17, 2002		Group: 2161			
U.S. PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	RECEIVED Name: JAN 08 2003 GROUP	Class	Sub - Clas s	Filing Date
	AA						
	AB						
	AC						
FOREIGN PATENT DOCUMENTS							
Examiner Initial					Class	Sub - Clas s	Translation Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	AF	2000-268111	9-29-2000	Japan Abstract			
	AG	2001-325430	11-22-2001	Japan Abstract			
	AH						
	AH						
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)							
	AO	"Eco-Total, formation of intellectual property trust paves a way for raising funds by entrepreneurs" Nikkan Kogyo Newspaper, Feb 12, 1999.					
	AP	"Has David Bowie Started a New Era of Celebrity Securitzations?" Mullen et al., The Securitization Conduit, Vol. 1, No. 1, 1998, pps. 13-21.					
	AQ						
Examiner					Date Considered		
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.							